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1585 Broadway  
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Telephone 212.969.3000  
Fax 212.969.2900

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Date	January 12, 2006	Client-Matter	74622-029	<b>Fax Transmittal</b>
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From	John C. Stellabotte			
Sender's Voice Number	212.969.3413	Sender's Room Number	17-44	
Sender's Email Address	jstellabotte@proskauer.com	Main Fax Number	212.969.2900	
To:	Examiner: PATEL, JAGDISH	Fax No.:	571.273.8300	
Company:	United States Patent and Trademark Office - Group Art Unit 3624	Voice No.:	571.272.4130	
Message				

Re: Application of : Sanjay Deshpande, et al.  
 Filing Date : December 10, 2001  
 Serial No. : 10/008,269  
 Title : SYSTEM AND METHOD FOR ENABLING  
 CONTENT PROVIDERS IN A FINANCIAL  
 SERVICES ORGANIZATION TO SELF-PUBLISH CONTENT  
 Att'y Docket : 74622-029

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

**FACSIMILE TRANSMISSION CERTIFICATE**

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Date

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PTO/SB/01 (09-04)

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<b>POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM</b>	Application Number	10/009,269
	Filing Date	December 10, 2001
	First Named Inventor	Sanjay Deshpande
	Title	SYSTEM AND METHOD FOR ENABLING PROVIDERS IN A FINANCIAL...
	Art Unit	3824
	Examiner Name	JAGDISH PATEL
	Attorney Docket Number	74622-029

I hereby appoint:

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I am the:

☐ Applicant/Inventor,

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/09)

**SIGNATURE of Applicant or Assignee of Record**

Signature		Date	1/11/06
Name	Gregg I. Goldman	Telephone	203.719.3099
Title and Company	Director and Senior Counsel, Technology and Intellectual Property, UBS AG, Stamford Branch		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ Total of \_\_\_\_\_ forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Sanjay Deshpande, et al.Application No./Patent No.: 10/008,269 Filed/Issue Date: December 10, 2001Entitled: **SYSTEM AND METHOD FOR ENABLING CONTENT PROVIDERS IN A FINANCIAL SERVICES ORGANIZATION TO SELF-PUBLISH CONTENT**Name of Assignee: UBS PaineWebber, Inc., a Corporation  
(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is: \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 013688, Frame 0047, or for which a copy thereof is attached.
- OR
- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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☐ Additional documents in the chain of title are listed on a supplemental sheet.☐ Copies of assignments or other documents in the chain of title are attached.

(NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08)

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Gregg I. Goldman  
Signature1/6/06  
DateGregg I. Goldman  
Printed or Typed Name203 719 3099  
Telephone NumberDirector and Senior Counsel, UBS AG, Stamford Branch  
Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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